DOCUMENT RESUME

ED 395 363 EA 027 547

AUTHOR	Candoli, Carl; And Others
TITLE	Handbook for Improving Superintendent Performance Evaluation.
INSTITUTION	Center for Research in Educational Accountability and Teacher Evaluation (CREATE), Kalamazoo, MI.
SPONS AGENCY	Office of Educational Research and Improvement (ED), Washington, DC.
PUB DATE	95
CONTRACT	R117Q00047
NOTE	52p.; For a related document, see EA 027 546.
AVAILABLE FROM	CREATE, The Evaluation Center, Western Michigan University, 401B Ellsworth Hall, Kalamazoo, MI 49008-5178.
PUB TYPE	Guides - Non-Classroom Use (055)
EDRS PRICE	MF01/PC03 Plus Postage.
DESCRIPTORS	Accountability; *Administrator Effectiveness; *Administrator Evaluation; Decision Making; Elementary Secondary Education; Evaluation Criteria; Formative Evaluation; Guidelines; *Job Performance; *Public Schools; Standards; Summative Evaluation; *Superintendents

ABSTRACT

This handbook for superintendent performance evaluation contains information for boards of education as they institute or improve their evaluation system. The handbook answers questions involved in operationalizing, implementing, and evaluating a superintendent-evaluation system. The information was developed from research on superintendent performance evaluation conducted during 1993-95. Part 1, "Foundations of Superintendent Performance Evaluation," lays out the principles and theory of fair and sound evaluation. It also includes lists of context variables, general superintendent duties, and possible evaluation tools and techniques. Part 2, "Conducting the Evaluation," outlines and explains the suggested tasks involved in a thorough performance evaluation. The third part, "Scheduling, Maintaining, and Monitoring the System," addresses more technical questions related to the timing, control, development, and assessment of the evaluation process. Three figures are included. Appendices contain a description of each of the personnel-evaluation standards and an expanded list of the superintendent duties presented in part 3. (LMI)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED 395 363

HANDBOOK FOR IMPROVING SUPERINTENDENT PERFORMANCE EVALUATION

Carl Candoli
Craig Nicholls
Daniel Stufflebeam

1995

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
☑ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

Center for Research on
Educational Accountability and Teacher Evaluation
The Evaluation Center
Western Michigan University
Kalamazoo, Michigan 49008-5178

EA027547

BEST COPY AVAILABLE

HANDBOOK FOR IMPROVING SUPERINTENDENT PERFORMANCE EVALUATION*

Candoli Nicholls Stufflebeam

Copyright © 1995 by

CENTER FOR RESEARCH ON EDUCATIONAL ACCOUNTABILITY
AND TEACHER EVALUATION
(CREATE)

All rights reserved.

*Support for the development of this monograph was provided by the U.S. Department of Education, Office of Educational Research and Improvement (OERI), through its grant to Western Michigan University for the work of the national research and development center called Center for Research on Educational Accountabtility and Teacher Evaluation (CREATE), Grant No. R117Q00047. The views expressed in this volume are those of the authors, and no official support by the U.S. Department of Education is intended or should be inferred.

Table of Contents

About This Handbook i

Part 1: Foundations of Superintendent Performance Evaluation

I. The Standards of Sound Personnel Evaluation 1

II. Overview of Duties-Based Superintendent Performance Evaluation 2
- The duties-based approach 2
- The duties 2
- Sources of duties 2
- Selection of duties 3
- Type of data required 3
- Level of activity involved 4
- Rationale 4
- Context of the approach 4

III. Duties/Competencies of the Superintendent 4

IV. General Features of the Evaluation System 5
- Philosophy, concept, and rationale for superintendent evaluation 5
- Commitment and support needed 6
- Board member training 6
- Role of stakeholders 7
- Inclusion of others' performance 7
- Five strands of evaluation 8
- Contract provisions for evaluation 8
- Evaluation frequency and timetable 8
- Meeting the standards 9
- Safeguards 9
- Evaluation reciprocity 9
- Formalizing the rules 10

V. Framework for Collecting and Analyzing Information: The CIPP Model 10
- Context evaluation 10
- Input evaluation 11
- Process evaluation 11
- Product evaluation 11

VI. Environment in Which the Superintendent Evaluation System is to be Implemented 12

VII. Evaluation Tools and Techniques 13

Part 2: Conducting the Evaluation

VIII. The Evaluation Tasks 17
Delineate 17
Obtain 19
Report 20
Apply 22

Part 3: Scheduling, Maintaining, and Monitoring the Superintendent Evaluation System

IX. Calendar of Activities 25
Sample calendars 25

X. Provisions for Controlling the Distribution of Evaluation Reports and Data 26
Who receives the report 26
Who has file access 26
Storing and security provisions 26
Superintendent assurances 27

XI. Responsibilities for Implementing the Superintendent Evaluation System 27
Oversight of the system 27
Management of the system 28
Technical development 29
Preparing to implement 29

XII. Monitoring the Evaluation System 30
Adherence to standards 31
Reviews and updates 31
Evaluating the system 31
Input from evaluatees 32

Concluding Comments 33

Appendices
Appendix A: The Personnel Evaluation Standards 34
Appendix B: General and Specific Duties of the Superintendent .. 37

ABOUT THIS HANDBOOK

This handbook for superintendent performance evaluation contains questions that boards of education may want answered as they institute or upgrade their system of evaluation. For each question, we provide either an example response or suggested principles to follow in addressing the question. The sample responses and advice are based on research on educational personnel evaluation conducted by the national Center for Research on Educational Accountability and Teacher Evaluation (CREATE). Some sections contain lists of variables, techniques, or accountabilities. From these, boards may identify what is applicable in their district or, as the case may be, choose samples to include in their assessments.

A companion portfolio is available that operationalizes the model described in this handbook. The portfolio contains model forms that may be used as written or modified to suit the needs of individual districts. (See p. iv for address information.)

A. *What is the purpose of this handbook?*

The purpose of this handbook is to provide an authoritative guide to answering questions involved in operationalizing, implementing, and evaluating a superintendent evaluation system. Although intended as a practical, usable handbook for evaluation, it is expected that modifications to the general model that is outlined will be made according to district constraints, needs, and policies. It is also suggested that boards cross-reference the manual to superintendent employment contracts, applicable state evaluation requirements, tenure laws, etc.

Purpose of the handbook

B. *How was this handbook developed?*

This handbook was developed as a result of research on superintendent performance evaluation completed over a period of three years. The research examined existing evaluation systems and found that virtually all were inadequate in terms of the professional standards for evaluation governing fair and effective personnel evaluation. Working from the findings of the research effort, the research team created the model from which this handbook is drawn based on defensible and proven standards of evaluation (the Joint Committee Personnel Evaluation Standards).

Development of the handbook

C. *How will boards and superintendents use this handbook?*

Each board member, as well as the superintendent, should be provided a copy. In conjunction with the superintendent, the board should decide how the outlined model applies in their district, what modifications may need to be made, and/or how the model may be adapted to supplement, improve, or replace an existing evaluation system. The handbook may be

Use of the handbook

used as a reference for planning specific evaluation activities, for developing instrumentation for the superintendent's performance evaluation, for answering questions about the evaluation system, and finally, as a comprehensive guide to conducting superintendent performance evaluation.

D. *How is this handbook organized?*

Organization of the handbook

The handbook is keyed to questions that are typically addressed in manuals for teacher evaluation and is divided into three main sections for ease of use and reference. The first part, Foundations of Superintendent Performance Evaluation, lays out the principles and theory of fair and sound evaluation. It includes, in addition, lists of context variables, general superintendent duties, and possible tools and techniques. Part 2, Conducting the Evaluation, outlines and explains the suggested tasks involved in a thorough performance evaluation. Part 3, Scheduling, Maintaining, and Monitoring the System, addresses more technical questions relating to the timing, control, development, and assessment of the evaluation process. An Appendix provides a description of each of the Personnel Evaluation Standards as well as an expanded list of the superintendent duties presented in section III.

E. *What basic evaluation model is presented in this handbook?*

The CIPP Model

This handbook is grounded in the CIPP Evaluation Model and is designed to help school districts to use CIPP to evaluate superintendent performance. The acronym CIPP denotes four basic kinds of evaluation. **Context** evaluation is intended to identify district needs, problems, and opportunities and to target the evaluation of superintendent performance on the extent, quality, and effects of efforts to use available opportunities to address district needs and problems. **Input** evaluation looks at the quality of district and superintendent planning and plans, including resource allocation. **Process** evaluation monitors and assesses efforts to implement plans. **Product** evaluation identifies accomplishments and assesses their significance especially with respect to meeting the needs of the district and its students. All four kinds of evaluation are conducted both to bring about improved performance and to hold the superintendent or other evaluatee accountable for performing his or her duties in an effective manner. The basic model is represented in Figure 1.

F. *What supplementary publications are available and where should inquiries be addressed?*

Additional copies of this handbook, as well as the companion portfolio, may be requested from

The Evaluation Center
Western Michigan University
Kalamazoo, MI 49008-5178

Supplementary information

Superintendent Performance Evaluation: Current Practice and Directions for Improvement presents research on superintendent evaluation and outlines the development of the model used in this handbook. Address inquiries to

The Evaluation Center
Western Michigan University
Kalamazoo, MI 49008-5178

The Personnel Evaluation Standards is a guide for assessing systems for evaluating education personnel. Individual standards are explained, given a rationale, and illustrated with case descriptions and analyses. A few sentences in this handbook were taken verbatim from The Personnel Evaluation Standards. Inquiries should be addressed to

Corwin Press, Inc.
P.O. Box 2526
Newbury Park, CA 91319-8526

Figure 1

	Context	**Input**	**Process**	**Product**
Decision making (formative orientation)	Guidance for choice of objectives and assignment of priorities	Guidance for choice of program strategy Input for specification of procedural design	Guidance for implementation	Guidance for termination, continuation, modification, or installation
Accountability (summative orientation)	Record of objectives and bases for their choice along with a record of needs, opportunities, and problems	Record of chosen strategy and design and reasons for their choice over other alternatives	Record of the actual process	Record of attainments and recycling decisions

PART 1:
FOUNDATIONS OF SUPERINTENDENT PERFORMANCE EVALUATION

I. The Standards of Sound Personnel Evaluation

Evaluation of personnel is an essential means of assuring quality in education. In order to educate students effectively and to achieve other related goals, educational institutions must use evaluation to select, retain, and develop qualified personnel. Despite this importance, evaluations of teachers and administrators have often been divisive and counterproductive. In the mid-1980s, a collaborative effort was made to address these problems by individuals representing 14 professional educational associations. The group (The Joint Committee on Standards for Educational Evaluation) studied personnel evaluation practices and obtained input from hundreds of teachers, administrators, board members, and others involved with the evaluation of educational personnel. The evaluation standards that follow and the book from which they are drawn (*The Personnel Evaluation Standards*) are the product of that effort.

Professional standards

The function of the standards is to correct deficiencies in current practice and to present educators and policy board members with a framework and a widely shared view of general principles for developing, assessing, and improving evaluation procedures. The standards present criteria for judging evaluation plans, procedures, and reports, and are divided into four general categories that correspond to basic attributes of sound evaluation--propriety, utility, feasibility, and accuracy. A brief explanation of each individual standard, presented at the level of an elaborated general principle, may be found in the Appendix.

Function of the standards

A. *Propriety* standards require that evaluations be conducted legally, ethically, and with due consideration for the welfare of the evaluatees (e.g., superintendents) and of their clients (students and community). The five Propriety standards are Service Orientation, Formal Evaluation Guidelines, Conflict of Interest, Access to Personnel Evaluation Reports, and Interaction with Evaluatees.

Propriety

B. *Utility* standards are intended to guide evaluations so that they are informative, timely, and influential. The five Utility standards are Constructive Orientation, Defined Uses, Evaluator Credibility, Functional Reporting, and Follow-Up and Impact.

Utility

C. *Feasibility* standards require evaluation systems that are easy to implement, efficient in using time and resources, adequately funded, and politically viable. The three Feasibility standards are Practical Procedures, Political Viability, and Fiscal Viability.

Feasibility

D. *Accuracy* standards require that the obtained information be technically accurate and that conclusions be linked logically to the data. The eight Accuracy standards are Defined Role, Work Environment, Documentation of Procedures, Valid Measurement, Reliable Measurement, Systematic Data Control, Bias Control, and Monitoring Evaluation Systems.

Accuracy

II. Overview of Duties-Based Superintendent Performance Evaluation

The duties-based approach is a central concept in the integrated model of performance evaluation proposed in this handbook. The questions and answers below should clarify the approach as well as the rationale for choosing it.

A. *What is the duties-based approach?*

The duties-based approach to superintendent performance evaluation uses the duties and/or the responsibilities of the position, as defined by the profession and modified by the board to account for local circumstances, as grounds for assessment. Personality and style variables are not considered, nor are comparisons made to past holders of the office. Duties-based evaluation is highly structured, using clearly defined, preestablished, and ethically defensible criteria for gathering appropriate evidence and judging performance.

Duties-based evaluation

B. *What are duties?*

At a general level, these are the responsibilities--recognized in the society, in the local community, by the state education department, and by the pertinent educational professions--that superintendents are expected to fulfill in serving their communities and school districts. At a specific level, they are the particular leadership responsibilities required for addressing district/student needs and for preparing and implementing sound strategic plans according to the priorities and constraints of the individual district. A list of general superintendent duties follows in section III, and this same general list with a second level of illustrative, specific duties is provided in the Appendix.

Professional duties

C. *What are the appropriate sources of duties?*

The generic duties mentioned above and listed in section III are those recognized by the profession. They were determined through a careful integration of the duties identified in a study of administrator responsibilities in Texas school districts and the professional standards (competencies) released by the American

Sources of duties

Association of School Administrators (AASA) in 1993. The specific duties chosen as accountabilities for any one evaluation cycle should be a matter of negotiation between the board and superintendent at the start of the evaluation year, based on an updated job description and an assessment of the district context (i.e., needs, priorities, constraints, etc.). In the Appendix, the second level of the duties list presents a comprehensive, but not necessarily exhaustive, set of duties from which the board and superintendent might choose in establishing evaluation accountabilities.

D. *How should specific duties be selected for examination in a given year?*

It is neither feasible nor necessary to assess all of a superintendent's duties in a given year. But it is important to examine a representative sample. We suggest that about 12-15 duties be selected and that at least 1 be chosen for each of the 11 generic categories of duties. The board and the superintendent should jointly consider which particular subset of duties should be involved during the assessment period. Factors to consider are duties where there were deficiencies in the previous year, current district priorities, and duties on which the superintendent is concentrating time. In addition to choosing specific duties, the board should weight each one for its relative importance.

Choosing duties

E. *What kinds of data are required by the duties-based model?*

The duties-based approach uses multiple measures whenever possible to determine if and how well each identified duty has been discharged. The type of data collected will depend to some extent on the specific expectations chosen for accountability. Student test and other achievement data, for instance, may be included in full, part, or not at all under this model, depending on the prior agreement established between the board and superintendent. Items B and C under section VII (Evaluation Tools and Techniques) list possible data sources for both performance and context aspects of the evaluation. From these it can be seen that the collected data may be of several types, including strict numerical data (i.e., test and background data), judgments (in the form of survey ratings and open-ended comments), observation (checklist and comments), and other records (i.e., portfolio of achievement, synthesis of interview protocols). In addition, the duties-based approach requires an explicit method or algorithm for combining the data to form a summary assessment of the superintendent's performance. Section VIII (The Evaluation Tasks) outlines the suggested evaluation

Types and sources of data

process in full, including the tasks involved in compiling and reporting the data (items B and C).

F. *What level of activity is involved in implementing the duties-based approach?*
The duties-based approach will typically involve a greater investment of time, energy, and other resources than would be the case in more superficial evaluation approaches, due to the emphasis on gathering a variety of data types and sampling from a number of sources.

Time, effort, and resources

G. *Why is the duties-based approach worth the time, effort, and money required to implement it?*
The duties-based approach is thorough and ethically defensible. It is geared toward evaluating the superintendent on explicit, clearly defined, and agreed-upon criteria drawn directly from an updated job description. It assesses the superintendent on only those responsibilities that he or she is charged with and has the authority to fulfill and thus makes job performance, rather than personality or political considerations, the focus of evaluation.

Justification of the required investment

H. *How does the duties-based approach fit within the broader context of the school system's evaluation approach?*
The duties-based approach may be applied, with some modifications (in duties, data sources, and in some cases depth), to all school personnel evaluations, including those of principals, teachers, and support personnel. A consistent approach to personnel evaluation is desirable, and superintendent evaluation should be understood and implemented within the larger context of the evaluation approach used districtwide. Also, publication of the duties of the superintendent and other categories of personnel helps the school district's constituents understand the role and responsibilities of each position and the appropriate basis for judging performance.

Applications of the duties-based approach

III. Duties/Competencies of the Superintendent

As explained above, the following list presents the generic duties of the superintendency as recognized by the profession. It is recommended that boards adopt this or a similar set of general duties to structure their evaluation of superintendent responsibilities. The second level of the list, given in the Appendix, presents several specific duties in each of the general areas. From this expanded list, boards may choose (and adapt, if necessary) those duties to be considered in a particular year's evaluation.

A. Promote and support student growth and development
B. Honor diversity and promote equality of opportunity
C. Foster a positive school climate
D. Provide leadership in school improvement efforts
E. Stimulate, focus, and support improvement of classroom instruction
F. Lead and manage personnel effectively
G. Manage administrative, fiscal, and facilities functions effectively
H. Assure/provide a safe, orderly environment
I. Foster effective school-community relations
J. Embody and promote professionalism
K. Relate effectively to the school board

General superintendent duties

IV. General Features of the Evaluation System

A. *What should be the guiding philosophy, concept, and rationale for superintendent evaluation?*

Superintendent evaluation should first and foremost be oriented to serving students' needs. Secondly, it should assist in the professional development of the superintendent. These two objectives are in harmony with one another, and the goal of a well-crafted evaluation system is a process that achieves both objectives as a joint outcome. In addition, the superintendent performance evaluation, as with any personnel evaluation system should be guided by the standards of propriety, utility, feasibility, and accuracy, as determined by consensus in the field of educational evaluation (summarized in section I).

Goals of superintendent evaluation

The model proposed in this handbook incorporates and integrates several concepts. The duties-based *approach* has been described in section II. Section VIII (The Evaluation Tasks) outlines a *process* of delineating, obtaining, reporting, and applying evaluation information. The main *classes* of information to be collected and analyzed are derived from the generic CIPP (Context, Input, Process, and Product) Model of evaluation and explained in section V (Framework for Collecting and Analyzing Information).

Key concepts

The rationale for superintendent evaluation, apart from the obvious need to make personnel decisions on contract continuation, salary, etc., is that personnel evaluation and development, including that of the superintendent, are potentially some of the most crucial elements affecting school quality and improvement. If done regularly, systematically, ethically, and with student needs in mind, superintendent (and other personnel) performance evaluation can

Benefits of superintendent evaluation

become a powerful, ongoing process for program improvement and quality control.

B. *What level of district commitment and concrete support is needed to install and effectively implement the evaluation system embodied in this handbook?*

Fair and thorough evaluation requires skills by the evaluating body (e.g., the board) and a commitment of time, energy and other resources. The implication of this is that board members will need to set aside a certain amount of time for evaluation tasks on a regular basis. Funds to purchase or develop evaluation materials may also need to be budgeted. Above all, there needs to be a philosophical commitment by the board to initiate, carry through, and in subsequent years *continue* the process in a fair and thorough manner. Some boards, recognizing the commitment of time and other resources necessary for adequate evaluation, may choose to employ, as a consultant, an external evaluator to train and assist them.

What the district must invest

C. *Is evaluation training for board members necessary and, if so, what kind and level of training plan is needed?*

The Personnel Evaluation Standards emphasizes the importance of evaluator credibility, underlining the necessity for evaluation procedures to be carried out by suitably qualified individuals who have the requisite skills, sensitivity, authority, and training to perform this function. It is recommended that any and all board members to be involved in superintendent performance evaluation undertake and provide evidence of training in personnel evaluation skills appropriate to the local district. Such training may include a review of the present system by a metaevaluator; a board workshop to learn about the Personnel Evaluation Standards and how to apply them (CREATE has developed a simulation package for this purpose); and/or specialized institutes and workshops on evaluation (e.g., the annual summer institute put on by CREATE). Other possible sources of board training are given in XI.D. of this handbook. One option for initiating training efforts might be to expect the superintendent and/or staff to organize and perhaps conduct training activities for the board.

Board member training

D. *What should be the role of stakeholders (e.g., central office staff, principals, support staff, students, parents, and teachers' organizations as well as board members and the superintendent) in making this system work for the benefit of the district's students?*

When the board and superintendent decide either to develop a new superintendent evaluation system or to review and revise the present system, they should provide concrete opportunities for stakeholders to keep informed about the work and to provide input. For example, they might conduct announced meetings to hear and discuss input from interested parties. Also, the district might engage a standing representative accountability commission (as some districts are currently doing) to provide systematic review and advisory assistance to the evaluation effort. Advisory commission membership might include parents, teachers, students, administrators, board members, and community representatives. Such persons can help to insure that views from a representative group of stakeholders are considered in designing and/or improving the evaluation system, and can also be asked to help explain the evaluation system to other stakeholders.

How to involve stakeholders

After the evaluation system is developed or refined, the board needs to achieve widespread understanding and respect for the system beyond those who were involved in its development. The board should periodically inform the school district staff and community with a printed description of the criteria and procedures used to evaluate superintendent performance. In these releases the board should encourage, provide opportunities for, and give assurance that it will use input from stakeholders on how to improve the system. Accordingly, the board should maintain clear, accessible, and regular channels for receiving and using input from stakeholders.

Keeping the public informed

E. *To what extent should evaluations of the superintendent take into account student achievement, performance of subordinates, and performance of the board?*

Superintendents should be evaluated only with respect to those things for which they are professionally and institutionally responsible and can affect at least indirectly. Thus, it is important for the board and superintendent to clarify these responsibilities before the start of each evaluation period and for the criteria of evaluation to be drawn directly from the superintendent's job description, which should be reviewed periodically and kept up-to-date. Therefore, the extent to which student achievement and/or subordinates' performance become criteria for superintendent

Evaluating the superintendent based on others' performance

evaluation will be a matter of negotiation between the board and superintendent, based upon a joint determination of initial duties and a consensus about those outcomes that the superintendent can reasonably be expected to affect. Evaluations of the superintendent should always take into account the board's own performance, since this is a constraint under which the superintendent must operate. This will require, at a minimum, some self-evaluation by the board.

F. *Who besides the board should assess the superintendent's performance?*

Five strands of evaluation

In order to obtain input from multiple perspectives, it is suggested that five strands of evaluative evidence be gathered: self-evaluation, peer evaluation, subordinate evaluation (i.e., teachers and/or principals), superior evaluation (the board), and constituent evaluation (e.g., students, parents, community members).

G. *What evaluation provisions should be included in the district's employment contract with the superintendent?*

Building evaluation into the superintendent's contract

At a minimum, the superintendent's employment contract should address the evaluation's frequency and timetable, the criteria to be used to judge performance, the intended uses of the evaluation (e.g., promotion, corrective action, professional development), and its intended users (e.g., the board, the superintendent, local media, stakeholder representatives). Individual boards and superintendents may wish to negotiate and include additional provisions in the contract.

H. *What is the recommended frequency and general timetable for evaluating the superintendent?*

Evaluation timetable

It is recommended that boards institute an evaluation system that results in regular formative exchanges with the superintendent throughout the year and a summative report at the end of the evaluation cycle. The model described in this handbook is intended to assist boards in setting up such a system. The suggested evaluation process is presented in detail in section VIII (The Evaluation Tasks) and a suggested timetable is given in section IX (Calendar of Activities).

I. *To what extent should this evaluation system meet the professional standards of sound educational personnel evaluation?*

The model outlined in this handbook was developed with the Personnel Evaluation Standards in mind. However, it is understood and expected that modifications to the model are likely to be made

to account for the specific characteristics of individual districts. Although all of the standards are relevant to all personnel evaluation systems, some standards may warrant more or less emphasis for certain evaluation purposes. In many situations it is unlikely to be possible, or practicable, to give full weight to all 21 standards. In such instances users must exercise judgment in deciding on the relative emphasis to give each one. However, crucial to any systematic personnel evaluation is the recognition and consideration of those standards relating to Service Orientation (P1), Formal Guidelines (P2), Access to Reports (P4), Constructive Orientation (U1), Defined Uses (U2), Evaluator Credibility (U3), Practical Procedures (F1), Defined Role (A1), Work Environment (A2), and Validity (A4). Adherence to these standards will assure the protection of employee rights as well as mitigate potentially adverse legal actions, promote and support improved performance, and assure that evaluations are doable and grounded in sound evidence.

Essential standards

J. *What safeguards should be included in the evaluation system for protecting the superintendent from incompetent or unscrupulous evaluators?*

A systematic, explicit evaluation procedure, using objective techniques, multiple measures, and valid evidence to assess clear and unambiguous criteria negotiated and agreed upon with the superintendent, is the cornerstone of fair and ethical evaluation. Evaluator training, as discussed above, is an important second element. In addition, any evaluation system should contain a clearly defined appeal process as well as provide an opportunity for written evaluatee comment or response to the final report. Other safeguards, such as periodic review and updating of the evaluation process, as well as the possibility of external review, are addressed in section XII (Monitoring the Evaluation System).

Safeguards to fair evaluation

K. *What should be the district's provisions for evaluation reciprocity, particularly evaluation of subordinates and board members as well as the superintendent?*

The district should, as a matter of written policy, provide for annual evaluations of all personnel employed in the district, including the board itself. These provisions should in each case identify the evaluatee, the evaluator (i.e., position or body), the frequency and general timetable of the evaluation, the criteria to be used, the types of data to be obtained, and the intended uses and users of the evaluation. As suggested above in II.G., the evaluation

Evaluation reciprocity

approach used by the district should be consistent across all personnel evaluations.

L. *How should the rules of the superintendent performance evaluation system be incorporated in formal district policies?* Evaluation policy

As with other personnel, the rules for superintendent performance evaluation should be written into district policy under the general policy on personnel evaluation.

V. Framework for Collecting and Analyzing Information: The CIPP Model

The model proposed in this handbook emphasizes the improvement function of evaluation. Evaluation is seen not as a specialized, one-time activity to be undertaken perhaps only at year's end, but rather as an ongoing, systematic, and institutionalized process that can aid board and/or superintendent decision making at several stages, from goal setting through implementation of plans to final (summative) value judgments. In the context of school district needs, superintendent evaluation may inform summative decisions or judgments to extend a superintendent's contract, award merit pay, or terminate; however, equally important is the need to help the superintendent improve day-to-day performance. Superintendent evaluation should thus provide data that the board and superintendent can use to make decisions about the district's goalsetting, plans, and management. Of course, superintendent evaluation should also provide feedback of use to the superintendent in addressing and strengthening areas of weakness. The general model

Although evaluation is occurring whenever an individual or group, such as the board, identifies needs and resources, debates its options, assesses progress, or passes judgment on something, the model outlined here proposes to make the process explicit and systematic. The four activities just mentioned correspond to the four general categories of information collection and analysis widely accepted in the evaluation community as necessary to thorough and systematic evaluation: **context, input, process,** and **product** (CIPP). These four evaluation categories are discussed here briefly.

Context evaluation is a systematic assessment of system and student needs, system problems, resources, opportunities that the district might use to improve programs and other aspects of the district, and of school district goals and objectives. This information is useful for determining job and school district targets early in the school year and for placing the year-end assessment of effectiveness within the proper context of constraints that Context evaluation

may have impeded achievement plus opportunities that did or could have enhanced accomplishments.

Input evaluation searches out alternative improvement strategies and assesses their relative strengths, weaknesses, and costs. The goal is to assure that improvement efforts and regular district activities will be guided by relevant and cost-effective activity and budgetary plans. An input evaluation may follow the conservative course of examining and providing direction for strengthening the current educational plan. Even then, the evaluation should be keyed to finding better options. The bottom line concerns of input evaluations are to search continuously for better ways of fulfilling district functions and to help ensure that the district's scarce resources will be used to best advantage. Input evaluations are relevant for assessing and strengthening plans at all levels (e.g., the superintendent's annual work plan, the math curriculum, the district's strategic plan, the annual budget, etc.), and for allocating resources based on priorities.

Input evaluation

Process evaluation monitors, documents, and assesses the implementation of plans. It is conducted and reported during the implementation phase to help guide and control the quality of the process, to identify needs for strengthening the guiding plan, and to document the actual implementation process. Much of the needed process information will be given to the board in the form of written and oral progress reports by both the superintendent and other school district staff. The superintendent can and should expect to receive the board's evaluations of the adequacy of the reported progress during these meetings. Such process evaluations by the board can provide the superintendent and staff with direction and stimulation for appropriate problem-solving activities. It is to be expected, then, that process evaluations will sometimes lead to midcourse changes in plans. Such changes should be put on record so that later they may be considered in the final judgment of performance.

Process evaluation

Product evaluation is a comprehensive assessment of the superintendent's work. It will be a primary concern of the board when it develops its summative evaluation report. In addition to the process evaluation record on the extent to which targeted needs were addressed by the superintendent, the board will need evidence on the extent of improvements and shortfalls, i.e., product information. Primarily, the product evaluation indicators will be a function of the previously identified priority needs. It is likely that the board will be more interested in the direction of outcomes than in whether or not some targeted values are met or exceeded. It is also to be expected that there will be unanticipated as

Product evaluation

well as expected outcomes. Superintendent evaluation should search out and take note of such side effects.

Keeping in mind the proposed ongoing nature of superintendent performance evaluation, it is recommended that boards adopt a quarterly schedule of evaluation activities emphasizing in turn the categories of context, input, process, and product evaluation just outlined. A board might conduct a first-quarter context evaluation for setting objectives and priorities, a second-quarter input evaluation for choosing and improving plans, a third-quarter process evaluation for monitoring and assessing ongoing performance, and a fourth-quarter product evaluation for judging accomplishments and making personnel decisions. Figure 2 illustrates how context, input, process, and product evaluation may be fitted into the quarters of an evaluation year.

The annual evaluation cycle

VI. Environment in Which the Superintendent Evaluation System is to be Implemented (what to consider)

The following items are a list of possible local conditions that the board may wish to consider both when developing superintendent accountabilities and later in judging performance. It is by no means exhaustive and is intended primarily to stimulate consideration of needs, priorities, challenges, and constraints in the district as the board and superintendent begin the evaluation process.

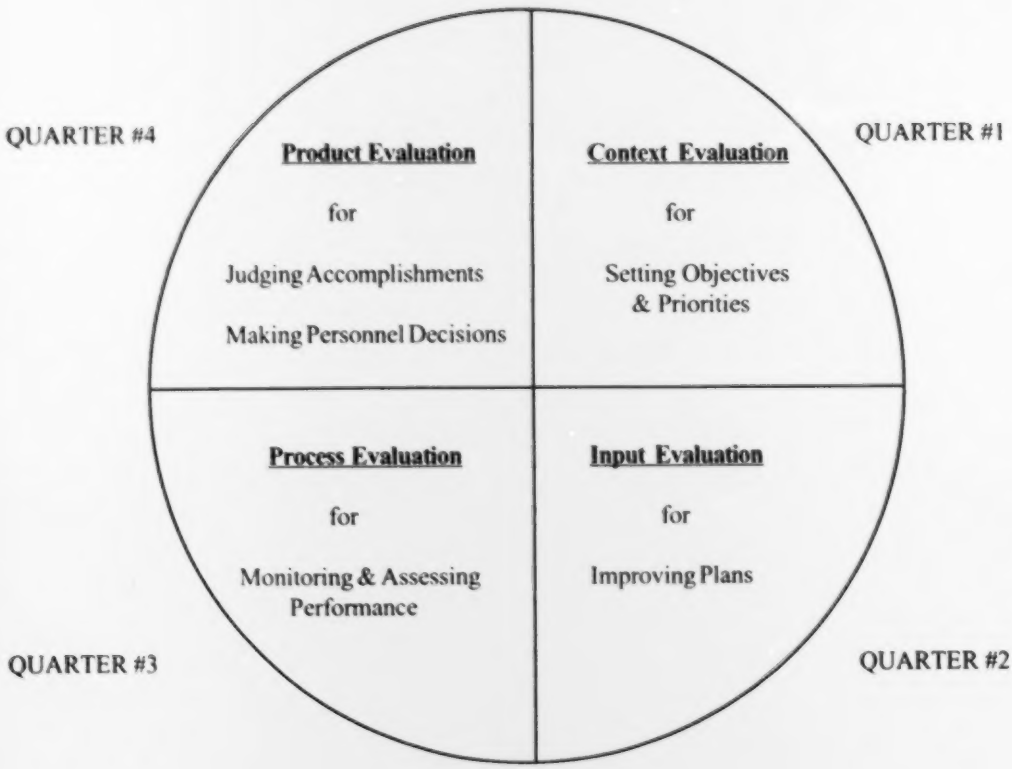
Environmental conditions and constraints

A. Community expectations for the school district, including pressure for social change, educational improvement, and school choice
B. Conflicting demands on schools
C. Students' characteristics, including SES, aptitude, English proficiency, ethnic diversity, etc.
D. Community tax base
E. Tax dollars for schools
F. Safety of neighborhoods and schools
G. Reputation of schools
H. Available technology, appropriate instructional materials, and appropriate instructional support services
I. Degree of campus-based decision making
J. Family support of student learning
K. Influence of teachers' organizations
L. District climate (cooperative atmosphere, orientation to learning, concern for equity)
M. State/federal controls, mandates, and resources
N. State tenure laws
O. Collective bargaining law

Figure 2

MAIN EVALUATION EMPHASIS

in Each Quarter



P. Restrictions by the courts
Q. Degree to which board members represent special interest groups, e.g., particular neighborhood constituencies
R. Adequacy of physical facilities, including, for example, air conditioning, heating, lighting, building maintenance, buses, recreation facilities

VII. Evaluation Tools and Techniques (what might be used)

The list below presents some options for boards to choose from when developing or selecting evaluation tools for hiring decisions, performance reviews, and context assessment. Particularly when reviewing superintendent performance, it is recommended that boards collect data from a variety of sources and, if possible, use multiple measures for each area to be assessed.

Evaluation tools

A. Superintendent hiring qualifications

1. Basic skills test
2. General knowledge test
3. Administration test
4. Review of credentials
5. Portfolio of prior leadership activities
6. Personality inventory
7. Job interview
8. Interviews with references
9. Assessment center results
10. Simulation exercises (during interview)
11. Administration during a trial or probationary period
12. Administrative certificate
13. Continuing education units

B. Superintendent performance

1. Parent survey
2. Teacher survey
3. Student survey
4. Principal survey
5. Portfolio of superintendent performance
6. Observation protocol
7. Informal, unstructured observations
8. Student learning gains
9. Student and community database on background factors
10. Superintendent interview protocol

C. Work environment

1. School district database
2. Community survey
3. Interviews with community representatives
4. Interviews of other key informants
5. Census records
6. Focus groups
7. Superintendent interview
8. Principal interview
9. Parent survey
10. Physical facilities checklist
11. Community police reports
12. Student test scores
13. Observation of school functions, e.g., athletic events, board meetings, faculty meetings, and cabinet meetings
14. Accreditation reports
15. External evaluation panel reports

PART 2:
CONDUCTING THE EVALUATION

VIII. The Evaluation Tasks (a suggested general process and some optional activities for the board president, full board, or board member designee)

This section presents the tasks involved in assessing superintendent performance. It is useful to think of these tasks as falling into four main categories: *delineating, obtaining, reporting,* and *applying* pertinent information. Figure 3 illustrates that these tasks apply similarly to context, input, process, and product evaluation.

A. **Delineate**

The delineating tasks provide the foundation for the evaluation process. Here the board, in communication with the superintendent, clarifies the superintendent's duties and the basic ground rules for the evaluation. Decisions are made and recorded concerning such matters as what audiences will have access to what evaluation results for what purposes, what superintendent accountabilities will undergird the collection of assessment information, how the different accountabilities will be weighted for importance, and what standards will be used to reach conclusions about the merit and/or worth of the superintendent's performance. The board and superintendent need to engage in productive communication and to make a written record of their agreements in order to prepare for the ensuing stages of the evaluation process.

Focusing the evaluation

1. Meet with the superintendent near the beginning of the school year to focus and plan the data gathering, including especially the key questions to be answered. In preparing for and conducting this meeting, especially

   a. Review the broad range of the superintendent's duties with the superintendent.
   b. Review and update the superintendent's job description.
   c. Reach a clear, mutual understanding of intended uses and users of the evaluation.
   d. Search out both concerns and areas of strength to be studied in the coming evaluation cycle.
   e. Reach an understanding of the student backgrounds and needs and other contextual influences to be considered and of how they will be assessed and taken into account.
   f. Review institutional constraints on superintendent performance.

Figure 3

	Context	Input	Process	Product
Delineate	• Uses and users • Student and system needs • Work conditions • Last year's achievements	• Strategic plan • Superintendent work plan • Campus plans	• Implementation of plans • Changes in conditions	• Student achievement • Other outcome-related information • Self, peer, subordinate, board, parent, and community assessments
Obtain	• Previous year's student achievement records, final report, and expenditures • This year's budget • Assessment of local conditions	• Records of above plans • List of choices and improvements made	• Superintendent's self-assessment and progress report • Board's assessment	• Student achievement data • Project outcome data • Surveys of teachers, peers, parents, community, and board members
Report	• Narrative summary of previous achievements and current needs and resources • Checklist of possible constraints	• Narrative summary of current plans including modifications made	• Superintendent verbal and written reports on steps taken and progress achieved • Verbal and written feedback from board on implementation of plans	• Superintendent end-of-year self-assessment • Board's summative report • Report to the community
Apply	• Develop superintendent accountabilities • Set evaluation schedule	• Modify plans as needed • Determine strategies	• Act on plans according to predetermined strategies and constraints • Make midcourse corrections as needed	• Review report with superintendent • Specify timetable and process for improvement, if necessary • Schedule next evaluation conference • Release community report

g. Review district, campus, and instructional plans intended to guide the superintendent's work.
h. Clarify and validate the evaluation criteria and weights to be employed.
i. Decide which duties are absolutely essential and provide a defensible rationale for these decisions, including especially established school district policy, pertinent laws and codes of ethics, and serving the best interests of students.
j. Determine appropriate information sources.
k. Define superintendent performance standards.
l. Preview the data-gathering schedule.
m. Make a realistic appraisal of superintendent and board time to be involved and of the needed time from other persons and of the required resources and assure that the plan is feasible.

2. Meet 3-9 times between the beginning and ending evaluation conferences during the school year to provide informal evaluation feedback, and discuss areas for growth (This provides constructive opportunities for formative evaluation feedback, taking advantage of whatever information has become available. It also provides a convenient way to monitor and address any problems in the ongoing, formal data-collection process. In these meetings review such items as the superintendent's work plans and minutes of meetings.)

B. **Obtain**

The obtaining tasks include collecting, organizing, validating, and analyzing the needed information. In general, information is gathered about the district context (e.g., needs assessment data, including last year's student achievement, attendance, and graduation data), district and superintendent inputs (e.g., the district's strategic plan and budget and the superintendent's work plan), district and superintendent process (e.g., activity reports, financial data, and stakeholder judgments), and district and superintendent products (e.g., this year's student achievement and related data, special project outcomes, the superintendent's evaluations of district staff, and unexpected outcomes of superintendent activities). Beyond these general classes of information, data should be collected in response to the specific information requirements determined in the delineation phase.

Collecting information

1. Have the superintendent maintain a portfolio of administrative activities and accomplishments, keyed to the prespecified evaluation questions and duties.
2. Observe the superintendent's performance during the school year in at least four meetings a new or troubled superintendent conducts and in two meetings an established superintendent conducts.
3. Obtain ratings of the superintendent's performance from subordinates. In districts with approximately five campuses or less, it is recommended that every staff member (i.e., teachers, administrators, noninstructional staff, etc.) evaluate the superintendent. In larger districts, steps should be taken to ensure representativeness of samples chosen.
4. Survey one or two other district superintendents and one or two administrators in business and industry regarding their assessments of the evaluatee superintendent's effectiveness and professional development needs. Alternatively, engage an administrator from outside the district to visit, observe operations, review records, interview pertinent parties, and then write up an evaluation report.
5. Survey a representative sample of parents to obtain their assessments of the superintendent's effectiveness.
6. Examine documented student gains in prespecified achievement areas, taking into consideration student background data.
7. Interview superintendent as needed re knowledge of administrative areas and current issues affecting the schools.
8. Maintain a record of influential factors in the superintendent's work environment.
9. Obtain board members' ratings of the superintendent's performance on each duty.
10. Check the validity and reliability of obtained measures and ratings.
11. Organize, store, and control the data.

C. **Report**

The reporting tasks involve reporting the information obtained to the intended users in ways to best serve intended uses. This may include formative feedback from the board to the superintendent, although the board should take care not to infringe on the day-to-day administrative authority delegated to the superintendent. The reporting tasks also include the compilation of one or more summative evaluation reports to serve accountability purposes, and

Reporting findings

possibly to provide direction for the superintendent's professional improvement.

1. Profile the obtained information in the form of ratings of quality for performance of each predetermined duty (e.g., on a 5-point scale).
2. Summarize the obtained information in terms of answers to the predetermined evaluation questions (e.g., using a narrative).
3. Prepare a summary assessment giving the degree of acceptability of the superintendent's fulfillment of each duty, listing strengths and weaknesses, taking into account contextual information, and highlighting any fundamental flaws. Note: Do not average out such fundamental flaws as racial, ethnic, or gender group discrimination; sexual abuse; inadequate knowledge of job responsibilities; inability to be understood by staff, community, or board; inadequate attendance by the superintendent; insubordination. In addition, evaluate each critical duty separately before reaching a determination of the acceptability of the superintendent's performance. A failing score on any one duty judged in advance to be critical cannot be compensated for by passing scores on other performance criteria.
4. Before finalizing and presenting the report to the superintendent, check and correct it for any biased information or interpretation by the district's attorney.
5. Compile the report.
6. Review the report, but not the raw data with the superintendent in a private conference.
7. Inform the superintendent about rights and procedures of appeal.
8. Provide the superintendent an opportunity to respond verbally and/or in writing and to have the written response appended to the report and included in the permanent file.
9. Correct any errors in the report that may be discovered by the superintendent.
10. Obtain the superintendent's signature on all copies of the evaluation report, signifying to having seen the report.
11. Distribute the report according to predetermined policies.
12. Document and file a record of the entire evaluation process.
13. Implement policies and procedures for controlling distribution, storage, and use of reports and pertinent supporting information.

D. **Apply**

The applying tasks are differentiated from the reporting tasks in order to underscore the importance of assuring that evaluation findings are used in meaningful ways and not just collected and reported. Particular intended uses and users will have been determined in the delineation phase. In general, boards and superintendents should plan to use reports to guide the superintendent's professional development, reach employment decisions (e.g., on salary, modification of assigned duties, continuation/termination), and as input for planning district improvement efforts (e.g., reorganization of the central office, employment of specialized personnel, and curriculum revision). The board should also consider how it can help other users to understand and apply reports (e.g., the press and community as they attempt to gain a better understanding of the superintendent's past performance and vision for improving the district).

Using the findings

1. Make decisions about the superintendent as appropriate and inform the need-to-know audiences.

2. Develop and approve a professional growth plan as appropriate, employing steps such as the following:
   a. Discuss satisfactory ratings.
   b. Discuss unsatisfactory ratings.
   c. Give specific suggestions.
   d. Specify dates for improving deficiencies and a timetable for improvement activities.
   e. Provide for monitoring the improvement process.
   f. Schedule a future evaluation conference.
   g. Clarify school district assistance to be provided.

3. Use the evaluation process and attendant reports for pre-specified purposes regarding the **superintendent**, such as the following:
   a. Specific directives/suggestions to the superintendent
   b. Extension of the probationary period
   c. Awarding of a new contract
   d. Awarding of merit pay
   e. Termination if remediation efforts fail
   f. Encouragement and motivation
   g. Accountability
   h. Recognize exemplary leadership
   i. Clarify superintendent responsibilities
   j. Enhance district credibility

k. Developing policies affecting the superintendent
l. Improving superintendent selection procedures
m. Counseling regarding personal problems

4. Use the evaluation process and attendant reports, for pre-specified purposes regarding the **school district**, such as the following:
   a. Understanding the problems of the district
   b. Organizational change

PART 3:
SCHEDULING, MAINTAINING, AND MONITORING THE SUPERINTENDENT EVALUATION SYSTEM

IX. Calendar of Activities

The model on which this handbook is based develops an evaluation cycle in which information categories to be collected and analyzed are fit into a quarterly schedule. The four general categories of **context, input, process,** and **product** (CIPP) evaluation were discussed in section V.

Scheduling and assigning responsibilities for the evaluation tasks entails developing a work schedule that corresponds to the board's annual agenda. No one sequence and set of assignments will fit all situations. Some districts will need to start the evaluation cycle at the beginning of the fiscal year, while others will need to start it in April, at the beginning of the school year, or at some other starting point. Also, the evaluation work must be integrated into the regular flow of superintendent-board interactions. Typically, the school board and superintendent are involved in formal, planned communications at least once a month at the regularly scheduled board meetings. In suggesting an annual calendar of evaluation tasks, the intent is to provide a mechanism that boards can use to conduct a complete and fair performance evaluation as part of the district's normal governance/administrative calendar.

Scheduling the evaluation work

A. Sample calendar for evaluating the superintendent

1. Spring: delineating activities for the following year's evaluation process
2. Summer: organizing conference
3. Summer: data-collection activities
4. Fall: informal feedback session(s)
5. Fall: data collection
6. Winter: informal feedback session(s)
7. Winter: formal reporting activities
8. Spring: application activities
9. Spring: delineating for the following year's evaluation process

B. A second sample calendar for evaluating the superintendent

1. Delineate at the time of hiring or in the Summer
2. Summer: data collection activities
3. Fall: conference
4. Fall: data collection
5. Winter: reporting activities
6. Winter: application activities

7. Spring: delineating for the following year's evaluation process plus data collection, etc. as appropriate

X. Provisions for Controlling the Distribution of Evaluation Reports and Data

Because of the sensitivity of the reports and because of the contractual and constitutional rights of the individual, great care must be taken to control and maintain the data engendered by superintendent performance evaluation.

Protecting superintendent rights

A. *What list of positions should be sent copies of the report?*
A base list should include the board members, the superintendent, the board attorney, and the school district archives.

B. *What are the only positions that may access the superintendent's evaluation file? And what are the rules of access?*
The board president (or secretary) should be the only person with unrestricted access to the superintendent's evaluation file. The superintendent and the person charged with the development of superintendent improvement plans should also be permitted access so that they may have appropriate knowledge about what is to be included in the improvement plan. However, these persons should always be accompanied by the board president or a designated representative when using the file.

Authorized users of evaluation files

Additionally, the board attorney should have access to the file when conditions warrant it. After the superintendent departs from the district, the files should remain controlled for a period of five to seven years. Thereafter, in accordance with district policy, they should be placed in a controlled archive or discarded. These provisions are intended to protect the board and the superintendent from unwarranted speculation about the reasons for the departure.

C. *What provisions are needed for storing and holding secure the evaluation data and reports?*
Safe and secure storage are necessary. Some districts have a board-controlled vault for such purposes. This vault should be part of the district's security system with only the board president or designated representative having unrestricted access to it. Other authorized users desiring access must have the approval of the board before being granted access and then must be in the company of the board president or designated representative as he/she examines the material. If open records provide for the release of evaluation materials, the board may, if legal requirements

Secure storage and retrieval

permit, prepare summary reports that will provide the needed information to the media and interested persons. District historians may have access after the five to seven year restricted time requirement has lapsed if district policy so provides.

D. *What assurances should be provided that the superintendent sees all copies/versions of the evaluation report?*
Often this is stipulated in the contract developed for the superintendent. If not, it is important for the board and superintendent to discuss this and similar issues regarding the evaluation process before the evaluation takes place. At this time such potential controversial topics should be discussed and an agreement reached providing the superintendent with access to all reports and information concerning his/her evaluation by the board. More and more superintendents are including this item as a condition of their contracts so that little doubt remains about the availability of the evaluation report.

Superintendent's right to see all reports

XI. Responsibilities for Implementing the Superintendent Evaluation System

Usually the development and implementation of the superintendent performance evaluation system falls upon the board of education. They are often charged by law with the annual performance evaluation of the superintendent and must satisfy the legal requirements for such an evaluation.

Following are some of the more technical questions that may arise when boards consider the development or implementation of a superintendent evaluation system.

A. *Who is responsible for oversight of the superintendent performance evaluation system? What is the role of this body? What qualifications, expertise, and special training do they require? How do they get the needed training?*
Many states have established evaluation bureaus as part of the state education department. In many of these states, the monitoring of the evaluation process is assumed as a part of the school and district accreditation process. The personnel of the accreditation division of the state department of education are provided training for their role in evaluation and can assist local districts in reviewing and adjusting the evaluation of various personnel as required by state law.

External oversight and assistance

Other districts have established local school district accountability commissions that are trained by the division of school and personnel evaluation to perform their tasks, which are to periodically review and adjust the evaluation instruments and processes.

In still other instances, several local districts have collaborated to engage university personnel or other consultants who are specialists in the evaluation process in order to assist them in developing their superintendent performance evaluation system and to train the board and superintendent in its use. It is crucial to the success of the system that those charged with its implementation (typically the board) be trained in the use of the instruments and procedures for conducting the superintendent performance evaluation.

B. *Who is responsible for efficient management of the superintendent performance evaluation system? What is the role of this body? What qualifications, expertise, and special training do they require? How do they get the needed training?*

Typically, in larger districts, the personnel office assumes the responsibility for managing the superintendent's performance evaluation system by notifying the superintendent and board of the time constraints well in advance and by providing copies of the instruments to be used for review and approval by the board and superintendent. This office makes sure that all time deadlines are met and that the board and superintendent are provided with the appropriate notice of these limitations well in advance of deadlines. Often this office develops an evaluation schedule for board/superintendent evaluation as part of the school calendar approved by the board.

Management of the process

In smaller districts, this task is handled by the superintendent as part of his/her personnel duties. Quite often the secretary to the superintendent develops the evaluation calendar for superintendent/board approval as part of the routine tasks of the office.

In larger districts the training of these personnel is handled by the office of personnel or the office of staff development as they assist in the training of staff to perform specific tasks. However, in smaller districts this task is performed through a variety of cooperative ventures ranging from the training being provided through an intermediate school office or regional service agency, through the efforts of the state department of education as it

performs the staff development function, or through collaboratives formed by several small districts who then hire an expert from a local university or from a private consulting firm to assist in the development of staff to perform these functions.

C. *Who should be responsible for technical development of evaluation materials and technical support in supplying data? What does this body do? What qualifications, expertise, and special training do they require? How do they get the needed training?*

In large districts, the Office of Research and Evaluation has a number of specialists who are already trained in the various evaluation techniques and can readily absorb the techniques needed for the superintendent performance evaluation and also train others in the use of these techniques. This division provides the technical knowledge on which to base evaluation procedures and processes and is charged with the review and modification needed to keep the processes current and viable. Small districts often need to turn to intermediate school districts or universities for this type of assistance.

Technical support

One of the main reasons for the development of this handbook is to provide information about superintendent performance evaluation to every district across the nation and to have this document available to answer the major questions that arise as the district develops its own approach to the evaluation of the superintendent. CREATE and other offices are available to develop, interpret, and modify evaluation systems and to guide and train governing bodies as they develop their evaluation designs. Although experts in the evaluation of education personnel may be in short supply, intermediate offices, state departments of education, universities, and other private and public agencies are also available to the smaller districts and can be of assistance as they proceed with this complex venture.

D. *What must the board and superintendent do to organize for and implement their superintendent performance evaluation responsibilities? What qualifications, expertise, and special training do they require? How do they get the needed training?*

First, the board and superintendent must agree that an annual evaluation is a necessary process for the improvement of the district and must adopt the necessary policies in order for the process to start. Second, the board and superintendent must develop an evaluation design that meets the requirements as itemized in the Joint Committee Personnel Evaluation Standards.

Getting started

Third, the board and superintendent must agree on which duties are to be included in the evaluation design and, further, which particular objectives are to be part of the superintendent performance evaluation. This can include the development of a portfolio among other artifacts desired as part of the information provided to the board as it deliberates on the evaluation. As the instrumentation for gathering the data and for reporting the facts about the evaluation is developed, the participants in the process (board and superintendent) should become familiar with the setting within which the evaluation is to take place and strive to assure that the major concerns about fairness and equity are met.

A variety of sources can be projected for providing the necessary training for both board members and superintendents. First, the state and national bodies representing these groups, AASA and parallel state organizations for superintendents, and NSBA and the parallel state bodies for board members have already instituted some training efforts on superintendent evaluation. Each of these groups has started to provide training in the procedures and processes for the evaluation of the superintendent. Many states, particularly those states where superintendent evaluation is required by state law, have charged the state department of education with developing a program of training for board members and superintendents in the conducting of superintendent performance evaluation. These programs are available through the regional (intermediate) education offices, as well as through the state department of education.

Training sources

XII. Monitoring the Evaluation System

Personnel evaluation is difficult to do well and is subject to mistakes and complaints. Even a well-planned system cannot be implemented successfully without evaluators and evaluatees identifying some problems and concerns. In addition, it must be recognized that individuals and their working conditions change, necessitating a regular review of evaluation procedures. Accordingly, personnel evaluation systems, even when they seem to be working satisfactorily, should be kept in a state of review, evolution, and improvement. As well as identifying components of the system that need to be revised, it is important to investigate complaints to ensure fairness and to avoid expensive appeals and litigation.

Metaevaluation

A. *What standards, regulations, and provisions should be met when evaluating superintendent performance?*
Adherence to the following list of items is recommended. However, the board should also investigate to see if any additional requirements apply.

1. The Joint Committee *The Personnel Evaluation Standards*
2. APA *Standards for Educational and Psychological Tests*
3. *Equal Opportunity Commission Guidelines*
4. Written policies of the district
5. Superintendent contract provisions
6. State regulations

Standards

B. *What are appropriate provisions for periodic formal reviews against the standards and updating of the evaluation purposes and procedures?*
Any new or existing evaluation system should be checked against the Personnel Evaluation Standards, and any deficiencies remedied. Given this, it would be appropriate to review the standards whenever any major change in the system is contemplated; for instance, changes in the evaluation purposes and procedures. Provisions for such a review should be written directly into the evaluation guidelines along with appropriate procedures for changing the system.

Periodic reviews

C. *Who should be responsible for evaluating the functioning of the superintendent performance evaluation system? What is the role of this body? What qualifications, expertise, and special training do they require? How do they get the needed training?*
While many boards attempt to perform the above function themselves, experience has shown that this task is best performed through an outside agency. Such an agency can dispassionately look at the data, the instrumentation, and the procedures used, and can measure the cumulative effects of the system on the organization. A periodic outside evaluation of the system is recommended as a way of guaranteeing that the system operates effectively.

Qualified reviewers

This function can be provided in a variety of ways ranging from the board performing it as a part of their obligation and purview to the board hiring a consultant to provide this function for them. There are also a variety of approaches to solving this issue ranging from inviting the state department to review the process and mechanism utilized as part of the accreditation process or inviting

the intermediate (regional) office to include this service as a part of their comprehensive list of duties performed for local school districts.

In every case, those personnel performing this task should have the knowledge and skills necessary to complete the task objectively and professionally. Most state departments and intermediate offices have personnel who have been trained in this process and can provide additional training for those wishing to learn the process. Additionally, university specialists in evaluation and private consulting concerns are able to offer such training.

D. *What is required to regularly obtain and review input from evaluatees?*

If evaluations are to be keyed to important questions, to help the board and superintendent to work well together, and ultimately to be effective in bringing about improvements in the performance of the superintendent and the district, it is essential that the process be grounded in effective and ongoing communication between the board and superintendent. For the board, this includes not just listening to, but actively seeking out input from the superintendent on all aspects of the evaluation process, from initial development to implementation and ultimate improvement.

Communication is a key

Concluding Comments

In this handbook we have tried to outline a new model for superintendent performance evaluation by answering questions that boards of education might confront when developing or improving an evaluation system. We wish users of this handbook success in their evaluation efforts and commend them for seeking to improve their district's educational service to students by means of systematic personnel evaluation. Reactions to this publication and recommendations for improvement are welcome.

APPENDIX A

The Personnel Evaluation Standards

Propriety standards require that evaluations be conducted legally, ethically, and with due consideration for the welfare of the evaluatees and of their clients.

P1 **Service Orientation**. Evaluations of educators should promote sound education principles, fulfillment of institutional missions, and effective performance of job responsibilities, so that the educational needs of students, community, and society are met.

P2 **Formal Evaluation Guidelines**. Guidelines for personnel evaluations should be recorded in statements of policy, negotiated agreements, and/or personnel evaluation manuals, so that evaluations are consistent, equitable, and in accordance with pertinent laws and ethical codes.

P3 **Conflict of Interest**. Conflicts of interest should be identified and dealt with openly and honestly, so that they do not compromise the evaluation process and results.

P4 **Access to Personnel Evaluation Reports**. Access to reports of personnel evaluations should be limited to those individuals with a legitimate need to review and use the reports, so that appropriate use of the information is assured.

P5 **Interactions with Evaluatees**. The evaluation should address evaluatees in a professional, considerate and courteous manner, so that their self-esteem, motivation, professional reputations, performance, and attitude toward personnel evaluation are enhanced or, at least, not needlessly damaged.

Utility standards are intended to guide evaluations so that they are informative, timely, and influential.

U1 **Constructive Orientation**. Evaluations should be constructive, so that they help institutions to develop human resources and encourage and assist those evaluated to provide excellent service.

U2 **Defined Uses**. The users and the intended uses of personnel evaluation should be identified so that the evaluation can address appropriate questions.

U3 **Evaluator Credibility**. The evaluation system should be managed and executed by persons with the necessary qualifications, skills, and authority, and the

evaluators should conduct themselves professionally, so that evaluation reports are respected and used.

U4 **Functional Reporting**. Reports should be clear, timely, accurate, and germane, so that they are of practical value to the evaluatee and other appropriate audiences.

U5 **Follow up and Impact**. Evaluations should be followed up, so that users and evaluatees are aided to understand the results and take appropriate actions.

Feasibility standards require evaluation systems that are easy to implement, efficient in using time and resources, adequately funded, and politically viable.

F1 **Practical Procedures**. Personnel evaluation procedures should be planned and conducted so that they produce needed information while minimizing disruption and cost.

F2 **Political Viability**. The personnel evaluation system should be developed and monitored collaboratively, so that all concerned parties are constructively involved in making the system work.

F3 **Fiscal Viability**. Adequate time and resources should be provided for personnel evaluation activities, so that evaluation plans can be effectively and efficiently implemented.

Accuracy standards require that the obtained information be technically accurate and that conclusions be linked logically to the data.

A1 **Defined Role**. The role, responsibilities, performance objectives, and needed qualifications of the evaluatee should be clearly defined, so that the evaluator can determine valid assessment data.

A2 **Work Environment**. The context in which the evaluatee works should be identified, described, and recorded, so that environmental influences and constraints on performance can be considered in the evaluation.

A3 **Documentation of Procedures**. The evaluation procedures actually followed should be documented, so that the evaluatees and other users can assess the actual, in relation to intended, procedures.

A4 **Valid Measurement**. The measurement procedures should be chosen or developed and implemented on the basis of the described role and the intended use, so that the inferences concerning the evaluatee are valid and accurate.

A5 **Reliable Measurement**. Measurement procedures should be chosen or developed to assure reliability, so that the information obtained will provide consistent indications of the performance of the evaluatee.

A6 **Systematic Data Control**. The information used in the evaluation should be kept secure, and should be carefully processed and maintained, so as to ensure that the data maintained and analyzed are the same as the data collected.

A7 **Bias Control**. The evaluation process should provide safeguards against bias, so that the evaluatee's qualifications or performance are assessed fairly.

A8 **Monitoring Evaluation Systems**. The personnel evaluation system should be reviewed periodically and systematically, so that appropriate revisions can be made.

APPENDIX B

General and Specific Duties of the Superintendent

1. Promote and support **student growth and development**.

   1.1 Assess and report on student achievement, attendance, and graduation rate.

   1.2 Provide leadership for annually assessing and setting priorities on student and district needs.

   1.3 Evaluate and provide direction for improving school/district offerings.

   1.4 Motivate and assist students to develop a sense of self-worth.

   1.5 Provide leadership for improving parent involvement in the schools.

   1.6 Set priorities in the context of student needs.

2. Honor diversity and promote **equality of opportunity**.

   2.1 Recruit qualified minority and majority staff.

   2.2 Examine, communicate, and address gaps in achievement of different groups of students.

   2.3 Provide leadership necessary to fully integrate schools and programs.

   2.4 Serve as an articulate spokesperson for the welfare of all students in a multicultural context.

   2.5 Respect diversity of religion, ethnicity, and cultural values in students, staff, and programs.

   2.6 Insure equitable distribution of district resources.

3. Foster a positive **school climate.**

   3.1 Assess and provide leadership for improving environments in and around each district school.

   3.2 Conduct school climate assessments.

3.3 Articulate and disseminate high expectations for student learning and teaching quality.

3.4 Promote a positive climate for learning and an atmosphere of acceptance for all students willing to participate in an orderly process of learning; do not tolerate chronic disruptive and/or criminal behavior from students.

3.5 Promote, demonstrate, and support clear two-way communication at all levels of the district.

3.6 Promote academic rigor and excellence for staff and students.

3.7 Encourage and foster self-esteem in staff and students.

3.8 Manifest multicultural and ethnic understanding.

3.9 Assess individual and institutional sources of stress and apply methods for reducing stress.

4. Provide leadership in **school improvement** efforts.

4.1 Develop, communicate, and implement a collective vision of school improvement.

4.2 Encourage, model, and support creativity and appropriate risk taking.

4.3 Provide direction and support for periodic review of curriculum and school policies and procedures.

4.4 Formulate strategic plans, goals, and change efforts with staff and community.

4.5 Formulate procedures for gathering, analyzing, and using district data for decision making.

5. Stimulate, focus, and support **improvement of classroom instruction**.

5.1 Provide encouragement, opportunities, and structure for teachers to design better learning experiences for students.

5.2 Evaluate and provide direction for improving classroom instruction.

5.3 Develop and offer opportunities that respond to teachers' needs for professional development.

5.4 Encourage and facilitate the use of new technology to improve teaching and learning.

6. Lead and manage **personnel** effectively.

6.1 Define and delegate administrative authority and responsibility effectively.

6.2 Evaluate performance of subordinates and take appropriate follow-up action.

6.3 Recognize and reward exemplary performance of subordinates.

6.4 Encourage and support personal and professional growth among staff.

6.5 Comply with applicable personnel policies and rules.

6.6 Recruit and select competent district personnel.

7. Manage **administrative, fiscal, and facilities functions** effectively.

7.1 Obtain competent fiscal/financial analysis.

7.2 Keep informed of funding sources.

7.3 Prepare appropriate budgets and cost estimates.

7.4 Manage the district budget.

7.5 Create and implement an internal/external audit system.

7.6 Maintain accurate fiscal records.

7.7 Ensure that facilities are maintained and upgraded as necessary.

7.8 Manage attendance, accounting, payroll, transportation.

7.9 Manage personal and district time effectively.

7.10 Conduct sound evaluation to guide decisions, e.g., in selecting office equipment and planning building construction or fund-raising campaigns.

7.11 Identify and evaluate alternative employee benefits packages.

7.12 Effectively apply the legal requirements for personnel selection, development, retention, and dismissal.

8. Assure/provide a **safe, orderly environment**.

   8.1 Develop and communicate guidelines for student conduct.

   8.2 Ensure that rules are uniformly observed and enforced.

   8.3 Discipline students for misconduct in an effective and fair manner.

   8.4 Promote a collaborative approach to discipline, involving staff, students, and parents.

9. Foster effective **school-community relations**.

   9.1 Formulate and implement plans for internal and external communication, including communication of the school district mission, student and district needs, and district priorities to the community and mass media.

   9.2 Write and speak clearly and influentially in order to recruit community support for school programs.

   9.3 Involve parents and other community members in serving school programs.

   9.4 Provide service to the community and leadership for developing rapport between the schools and the community.

   9.5 Obtain and respond to community feedback.

   9.6 Implement consensus building and conflict mediation.

   9.7 Align constituencies and build coalitions to support district needs and priorities and to gain financial and programmatic support.

   9.8 Maintain constructive communication with employee organizations, including but not restricted to unions.

   9.9 Understand and be able to communicate with all cultural groups in the community.

   9.10 Institute, nurture, and improve the district's cooperative relationships with other districts, intermediate education units, the state education department, federal education agencies, etc., including sharing scarce resources, facilitating student transfers, conducting staff development, and obtaining grants.

   9.11 Apply formal and informal techniques to assess external perception of the district by means of surveys, advisory groups, and personal contact.

9.12 Form alliances with other groups concerned with the welfare of children and youth, e.g., the police and fire departments and the juvenile courts.

9.13 Be knowledgeable about the community, including its history, culture, resources, and services.

9.14 Identify and analyze the political forces in the community.

9.15 Design effective strategies for passing referenda.

9.16 Successfully mediate conflicts related to the district.

9.17 Respond in an ethical and skillful way to the electronic and printed news media.

9.18 Involve stakeholders in educational decisions affecting them.

9.19 Exhibit environmental awareness and be proactive in such efforts as recycling and preserving natural resources.

10. Embody and promote **professionalism**.

10.1 Participate in professional education organizations, e.g., AASA, AERA, ASCD.

10.2 Conduct oneself in an ethical and professional manner.

10.3 Stay abreast of professional issues and developments in education.

10.4 Disseminate professional ideas and new developments to other professionals.

10.5 Know and employ appropriate evaluation and assessment techniques, e.g., performance assessment, standardized testing, and educational statistics.

10.6 Obtain and use evaluation information as a basis for improving performance; conduct a systematic annual self-evaluation, seeking and responding to criticism of performance.

10.7 Maintain an understanding of international issues affecting education.

10.8 Maintain personal, physical, and emotional health.

11. Relate effectively to the **school board**.

11.1 Meet the board's needs for information about district performance.

11.2 Interact with the board in an ethical, sensitive, and professional manner.

11.3 Communicate clearly and substantively to the board.

11.4 Educate the board about professional education issues and approaches.

11.5 Recommend policies to improve student learning and district performance.

11.6 Provide leadership to the board for defining superintendent and board roles, mutual expectations, procedures for working together, and strategies for formulating district policies.

11.7 Recognize and apply standards involving civil and criminal liabilities, and develop a checklist of procedures to avoid civil and criminal liabilities.

11.8 Recommend district policy in consideration of state and federal requirements.

11.9 Draft a district policy for external and internal programs.